

DOCKET #: SVL920030125US1

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor: Keshava Murthy **Assignee:** International Business Machines Corporation

Application No.: 10/775,739 **Customer No.:** 24852

Confirmation No.: 1539 **Group Art Unit:** 2171

Filing Date: February 9, 2004 **Examiner:** Unknown

Title System for Heterogeneous Distributed Transaction Management in Database Systems

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

I hereby certify that the above paper/fee is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on: October 28, 2004

Person mailing paper/fee: Debra Renae Flannery Signature: Debra Renae Flannery

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-145

REVOCATION AND POWER OF ATTORNEY

I hereby revoke all previous powers of attorney or authorizations of agent given in the above-identified application and appoint practitioners at

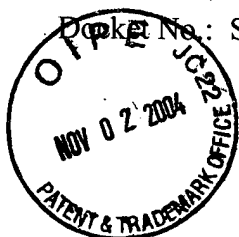
Customer Number : 47,069

as our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected herewith.

Please change the correspondence address for the above-identified application to the above-mentioned Customer Number.

SIGNATURE of Assignee of Record of entire interest (*Statement under 37 CFR 3.73(b) is enclosed*)

Name	Romualdas Strimaitis	Registration Number: 35,697
Signature		
Date	10/28/04	
NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.		
Total of <u>3</u> forms are submitted		



Pocket No.: SVL920030125US1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor:	Keshava Murthy	Assignee:	International Business Machines Corporation
Application No.:	10/775,739	Customer No.:	24852
Confirmation No.:	1539	Group Art Unit:	2171
Filing Date:	February 9, 2004	Examiner:	Unknown
Title System for Heterogeneous Distributed Transaction Management in Database Systems			

CERTIFICATE UNDER 37 C.F.R. §3.73(b)

INTERNATIONAL BUSINESS MACHINES CORPORATION, a corporation organized and existing under the laws of the State of New York, having a place of business at New Orchard Road, Armonk, New York 10504, certifies that it is the assignee of the entire right, title, and interest in the patent application identified above by virtue of:

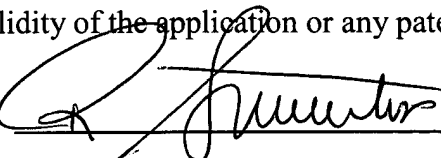
An assignment from the inventor, Keshava Murthy, to International Business Machines Corporation, of the patent application identified above. The assignment was recorded in the U.S. Patent and Trademark office on February 9, 2004, at Reel/Frame 014983/0452 (copy attached).

INTERNATIONAL BUSINESS MACHINES CORPORATION owns 100% interest in the above-identified patent application.

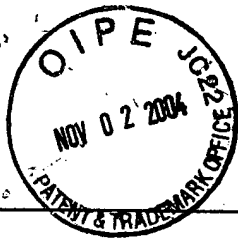
The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, as the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Dated: 10/28/04

By: 

Romualdas Strimaitis, Reg.No. 35,697
Counsel, Intellectual Property Law
International Business Machines Corporation
555 Bailey Ave., J46/G4
San Jose, CA 95141-1003



BEST AVAILABLE COPY

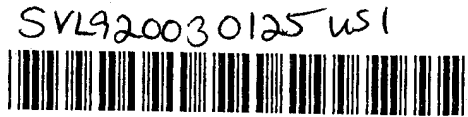
UNITED STATES PATENT AND TRADEMARK OFFICE SVL-101/US

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

AUGUST 13, 2004

PTAS

LUMEN
MAREK ALBOSZTA
2345 YALE STREET, 2ND FLOOR
PALO ALTO, CALIFORNIA 94306



102676087A

received
Lumen 8/19/04

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/09/2004

REEL/FRAME: 014983/0452
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).
DOCKET NUMBER: SVL920030125US1

ASSIGNOR:

MURTHY, RAGHUPATHI KESHA

DOC DATE: 02/06/2004

ASSIGNEE:

INTERNATIONAL BUSINESS MACHINES
CORPORATION
ARMONK, NEW YORK 10504

SERIAL NUMBER: 10775739

FILING DATE: 02/09/2004

PATENT NUMBER:

ISSUE DATE:

TITLE: SYSTEM FOR HETEROGENEOUS DISTRIBUTED TRANSACTION MANAGEMENT IN
DATABASE SYSTEMS

014983/0452 PAGE 2

ALLYSON PURNELL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

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02-20-2004



Attorney Docket No: SVL920030125US1

31353 U.S. PTO
10775739



102676087 N COVER SHEET
FOR ASSIGNMENT OF PATENT

To the Hon. Commissioner of Patents and Trademarks:

Please record the enclosed copy of an assignment document. Relevant assignment data are as follows:

1. Assignors:

Raghupathi Keshava Murthy
35408 Monterra Circle, Union City, California 94587

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2. Assignee:

INTERNATIONAL BUSINESS MACHINES CORPORATION
Armonk, NY 10504

3. Execution Date of Assignment of Entire Interest in Patent Application: February 6, 2004

4. Execution Date of Declaration for Patent Application: February 6, 2004

4A. Patent Application No.:

2-9-04

4B. Patent Number: Not assigned

10775739

5. Correspondence address: Marek Alboszta
LUMEN
2345 Yale Street, 2nd Floor
Palo Alto, CA 94306

6. Total Number of applications and Patents involved: 1

7. Total fee (37 CFR 3.41): \$40

8. Statement and signature:

To the best of my knowledge and belief, the information contained herein is true and correct, and any attached copy is a true copy of the original document.

Katharina Wang Schuster
Reg. No. 50,000

Date: Feb. 9, 2004
telephone: (650) 424-0100

Total number of pages including cover sheet, attachments, and document: 2

02/19/2004 LMUELLER 00000156 090460 10775739

01 FC:8021 40.00 DA

Page 1 of 1



Docket No.: SYL920030125US1

ASSIGNMENT

Whereas, I, **Raghupathi Keshava Murthy**
City of **Union City**
County of **Alameda**
State of **California**

Whereas, I,
City of
County of
State of

Whereas, I,
City of
County of
State of

Whereas, I,
City of
County of
State of

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have invented certain improvements in (Title of Invention):

System for Heterogeneous Distributed Transaction Management in Database Systems
and executed a Declaration and Power of Attorney for a United States patent application therefor on

1. 2/6/04
2. _____
3. _____
4. _____

Whereas, **INTERNATIONAL BUSINESS MACHINES CORPORATION**, a corporation of New York, having a place of business at Armonk, New York 10504 (hereinafter called **IBM**), desires to acquire the entire right, title and interest in the said application and invention, and to any United States and foreign patents to be obtained therefor;

Now therefore, for a valuable consideration, receipt whereof is hereby acknowledged, I, the above named, hereby sell, assign, and transfer to **IBM**, its successors and assigns, the entire right, title and interest in the said application and invention therein disclosed for the United States and foreign countries, and all rights of priority resulting from the filing of said United States application, and I request the Commissioner of Patents to issue any Letters Patent granted upon the inventions set forth in said application to **IBM**, its successors and assigns; and I hereby agree that **IBM** may apply for foreign Letters Patent on said invention and I will execute all papers necessary in connection with the United States and foreign applications when called upon to do so by **IBM**.

Execution by Inventor

Inventor: **Raghupathi Keshava Murthy**

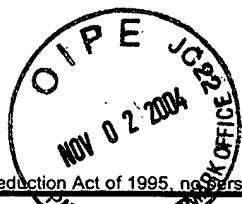
City/State: **Menlo Park, CA**

Signature: [Signature]

Date: 2/6/04

020904

17724 U.S. PTO



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PTO/SB/17 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 810

Complete if Known

Application Number	
Filing Date	
First Named Inventor	Raghupathi Keshava Murthy
Examiner Name	
Art Unit	
Attorney Docket No.	SVL920030125US1

31353 U.S. PTO
10/775739**METHOD OF PAYMENT** (check all that apply)☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit
Account
Number
Deposit
Account
Name

c9 - 0460

IBM-Silicon Valley Lab

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	770
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$) 770

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	X	
Independent Claims	-3** =	X	
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 40

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Katharina Wang Schuster	Registration No. (Attorney/Agent)	50,000	Telephone	650-424-0100
Signature	Katharina Schuster	Date	Feb. 9, 2004		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.